

**DEPARTMENT OF THE NAVY
BUREAU OF NAVAL PERSONNEL
5720 INTEGRITY DRIVE
MILLINGTON TN 38055-0000**

IN REPLY REFER TO
BUPERSINST 12273.1
PERS-08
19 Nov 01

BUPERS INSTRUCTION 12273.1

Subj: CIVILIAN HUMAN RESOURCES MANAGEMENT (HRM) ASSESSMENT

Ref: (a) SECNAVINST 12273.1
(b) 5 U.S.C. 2301, 2302
(c) 42 U.S.C. 2000e-16
(d) OPNAVINST 5354.1E
(e) SECNAVINST 5040.3A
(f) Guide No. 273-01 (Department of Navy Civilian Human Resources Management, A Self-Assessment Guide for Line Managers of 16 Mar 99)

1. Purpose. To provide policy and guidance to assess civilian Human Resource Management (HRM) programs. This includes all personnel functions, including equal employment opportunity (EEO), within Bureau of Naval Personnel (BUPERS) claimancy. Assessment will be conducted in conjunction with the Inspector General (IG) visit, or if needed, other BUPERS visits.

2. Background

a. Reference (a) requires activities to perform an assessment of their civilian HRM programs and ensure ongoing effectiveness and continuous improvement in provided services. References (b) through (f) provide basic framework and guidelines for HRM programs.

b. Assessment of civilian HRM programs and program results will focus on the following five key areas:

(1) Communication. Extent to which HRM information is made available to managers, supervisors and employees in serviced organizations.

(2) Organization Health. Ability and motivation of the workforce to perform the organization's mission; environment in which work is performed; and organization skill mix that has adequate breadth, depth and diversity for both short-term and long-term successes.

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(3) Equal Employment Opportunity (EEO). Work environment that is free from discrimination based on race, color, religion, sex, national origin, age, handicap, and sexual harassment.

(4) Accountability and Responsibility. How the organization makes public policy, ethical requirements and risk factors a part of its management responsibility.

(5) Human Resources Management (HRM) Results. Extent to which the organization has been successful in achieving HRM goals and objectives.

NOTE: Drug and Alcohol Programs implementation will be assessed, where applicable, and includes Abuse Prevention Education, Deglamorization, and Health Promotion Services.

3. Objective

a. Objective of civilian HRM assessment is to

(1) improve the delivery of HRM services.

(2) ensure compliance with applicable merit systems principles, Federal laws and regulations, including EEO laws.

(3) target areas identified as needing improvement.

b. HRM assessment and IG visits are consolidated to avoid redundancy and duplication of Secretary of the Navy (SECNAV) inspection process, and eliminate inspections that are not mission relevant. Also, consolidated visits eliminate inspections that detract from mission performance or readiness. When required, on-site visits are as brief and minimally intrusive as possible.

c. Each program will be evaluated with respect to three program elements. These include

(1) support for mission accomplishment. This area covers how the HRM program supports mission accomplishment, and basic HRM program goals. This includes Human Resources Office (HRO) managerial and supervisory understanding and execution of their respective responsibilities regarding Navy-wide, command-wide, and activity-wide goals and requirements. It includes both effectiveness and efficiency.

(2) advice and support from HRO staff. This area covers both actual and perceived soundness and timeliness of advice information and services provided by HRO staff. It also includes leadership, responsiveness, and regular feedback from supervisors and employees.

(3) program administration and compliance with laws and regulations. This area covers program administration within the activity and compliance with applicable laws, rules and regulations. This is inclusive of quality, completeness and timeliness of work. It also includes effectiveness and efficiency with which these requirements are met.

4. Policy

a. BUPERS claimancy shall maintain effective systems for assessing civilian HRM programs, results, and line managers accountability. This includes personnel staffing, performance appraisals, award programs, managing to payroll, classifications, position descriptions, recruitment, training, EEO, administrative grievances, and Civilian Employee Assistance Program (CEAP).

b. HRM assessments and IG visits are planned, coordinated and conducted to ensure commands are properly organized, trained, equipped and supported to achieve their required capability and execute their assigned mission.

c. IG and HRM assessment visits are conducted every 3 years or at the request of the Deputy Chief of Naval Personnel (DEPCHNAVPERS). Commands that identify areas of concern, or opportunities to improve efficiency and quality of life (QOL), may request an HRM assessment at any time.

d. Commands will be notified 4 to 6 months prior to an IG and HRM assessment visit and will be required to begin the HRM self-assessment process at that time. Reference (f), available at www.donhr.navy.mil/Employees/index_for_secnavinsts.asp, provides guidance for conducting the self-assessment. The assessment process has the following three basic steps:

(1) Activity conducts a self-assessment.

(2) An external review process validates the activity self-assessment. Review will be performed during the regularly scheduled IG visit, or other BUPERS visits.

(3) Line managers and activity heads take action based on the results of both the self-assessment, and the external validation.

e. Performance of an activity HRM self-assessment does not have to be linked directly to external validation. The activity may perform self-assessments as often as desired. Repeating this process over time and assessing progress based on action taken in response to previous assessments is the key to making the assessment process a valuable management tool.

f. Reference (f), appendix A - Assessment Criteria, will be used for conducting a civilian self-assessment for an activity with more than 100 civilians. Reference (f), appendix E, a Simplified Approach to Assessment, will be used to assess activities that have fewer than 100 civilians.

g. Reference (f) appendices B, C, and D provide guidance and methodology in conducting the assessment of the five focus areas as follows:

(1) Appendix B, Personnel Program Review Areas, includes the minimum requirements for compliance assessment and entitlements, along with examples of practices and procedures that demonstrate support of these requirements.

(2) Appendix C - Merit System Principles, is adapted from the statutory language that appears in 5 U.S.C., section 2301.

(3) Appendix D - Prohibited Personnel Practices, is adapted from the statutory language that appears in 5 U.S.C., section 2302.

h. The first four focus areas are assessed using the criteria at reference (f), page 34. HRM results are assessed using criteria provided at reference (f), page 35.

i. Reportable items identified by the self-assessment or IG visits will be targeted for a response in 60 days. Follow-up will continue quarterly until all corrective action is complete.

5. Responsibilities

a. Chief of Naval Personnel (CHNAVPERS) is responsible for

(1) ensuring HRM assessment objectives are accomplished and comply with applicable policies contained in this instruction.

(2) responding to requests for information from claimancy activities regarding assessment.

(3) responding to Deputy Assistant Secretary of the Navy for Civilian Personnel and Equal Employment (DASN (CP/EEO)) tasking.

(4) ensuring staff offices and subordinate activities comply with required actions within specified timeframes.

b. CHNAVPERS has assigned BUPERS, Director, Civilian Personnel Policy (PERS-08) responsibility for developing policy, objectives, and guidance for HRM assessments and maintaining oversight. BUPERS (PERS-08) ensures HROs/Human Resource Service Centers (HRSCs) are provided feedback on assessment items and areas requiring their action.

c. Commander/activity heads or designee shall

(1) perform civilian HRM self-assessments in conjunction with IG and other visits.

(2) provide information requested by CHNAVPERS and DASN (CP/EEO).

(3) respond to assessment findings, recommendations, and required actions within required timeframes.

(4) use self-assessment results to improve civilian HRM.

d. Servicing Human Resources Service (HRS) providers shall

(1) provide further advice and assistance to serviced activities in developing HRM self-assessment programs that are consistent with activity size, mission requirements, and BUPERS requirements.

(2) perform self-assessment of HRM services using reference (f), to ensure services are efficient, timely, effective, meet technical and legal requirements, meet mission requirements of their organization and those of their customers, is employee friendly, and whether HRM and EEO programs are supported and implemented.

(3) establish and provide accountability support to HRM.

(4) utilize self-assessment results to improve civilian HRM services.

(5) provide a copy of the HRS providers' self-assessment to BUPERS IG or BUPERS (PERS-08) representatives upon request.

6. Action. Addressees shall ensure adherence to program and reporting requirements.

7. Reports. BUPERS Report Symbol 12273-1, Self-Assessment and Evaluation of Civilian HRM Programs, is assigned to reporting requirements contained in paragraph 4c and remains in effect for 3 years from date of this instruction. This report is completed and forwarded by BUPERS (PERS-08). Copies will be provided to the servicing HRO, HRSC, and ODASN (CP/EEO), by BUPERS (PERS-08).

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